

Procurement, Supply, and Equipment Maintenance

Functional Files

Function Number 700

Function number 700 relates to the processing of grants and procurement transactions for supplies, equipment, and services. Files pertaining to the procurement and disposal of real property are contained in Function 800. Where appropriate, Function 705, Equipment Information and Maintenance Files, have been incorporated into project case files for functional areas agency-wide; therefore, Function 705 has been revoked.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

This Function has been revised to incorporate the changes made by General Records Schedule 1.2: Grant and Cooperative Agreement Records dated September 2014 which states the following:

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records. Nor does

this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

Subfunctions described in this section are:

702 Procurement and Grants Management Files

703 Supply Management Files

704 Personal Property Management and Property Disposal Files

705 Equipment Information and Maintenance Files (Revoked)

706 Federal Activities Inventory Reform (FAIR) Act Records

NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
702	PROCUREMENT AND GRANTS MANAGEMENT FILES	These files relate to the processing of grants and procurement transactions for supplies, equipment, and services. See 802-02 for procurement of real property.		
702-01	General Correspondence Files	Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule. Cross-reference: NOAA Records Series Code 702-22	GRS 3, item 2 Destroy when 2 years old.	TEMPORARY. Destroy when 2 years old.
702-02	Small and Disadvantaged Business Utilization Files	Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Public Law 95-507.	GRS 3, item 17	TEMPORARY. Destroy when 3 years old.
702-3	Routine Procurement Files	Contract, requisition, purchase order, and lease, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.		
		Record Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or

				cancellation, but longer retention is authorized if required for business use.
		<p>All Other Copies:</p> <p>Note: Obligation copy rescinded by GRS 1.1. Hard copies no longer exit in the e-system work process pipeline.</p>	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	<p>TEMPORARY.</p> <p>Destroy when business use ceases.</p>
702-04	Solicited and Unsolicited Bids and Proposals Files	a. Successful Bids and Proposals; b. Solicited and Unsolicited Unsuccessful Bids and Proposals; and c. Canceled Solicitations		
		Record Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	<p>TEMPORARY.</p> <p>Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.</p>
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	<p>TEMPORARY.</p> <p>Destroy when</p>

				business use ceases.
702-05	Source Evaluation Board Files.	<p>Documents pertaining to selection and operation of board to evaluate possible contractors for a major negotiated contract. Includes designation of board members, minutes, standards used for evaluation, report on findings, etc.</p> <p>File a copy of findings with related contract case file and destroy with related contract case file.</p>		
		Original Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases, but not as long as record

				copy disposition.
702-06	Public Printer Files	Records relating to requisitions on the Printer, and all supporting papers.		
		a. Printing procurement unit copy of requisition, invoice, specifications, and related papers		
		Original Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases.
		b. Accounting copy of requisition.		

		Original Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases.
702-07	Contract Appeal Case Files	Contract appeals case files arising under the Contract Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.		
		a. Records created prior to October 1, 1979.		RESCINDED per GRS Transmittal 23

		b. Records created after September 30, 1979.	GRS 3, item 15b.	TEMPORARY. Destroy 1 year after final action on decision.
702-08	Contractor's Statement of Contingent or Other Fees			RESCINDED per GRS Transmittal 23
702-09	Tax Exemption Files.	Tax exemption certificates and related papers.		
		Original Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases, but not as long as record copy disposition.

1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
702-10	Grants On-line	<p>Grants On-line is a fully operational end-to-end grants management software application. Records are created electronically and submitted to the Grants Office.</p> <p>[NOTE: Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files, cannot be scheduled in the GRS. The types and significance of grant programs and the contents of the files vary, so no single disposition can be applied to the files on a Government-wide basis. To schedule these records, agencies must submit an SF 115 to NARA.]</p>	N1-370-07-03	<p>TEMPORARY.</p> <p>Regardless of media, cut off at final payment. Delete/destroy 6 years and 3 months later. This is a media-neutral disposition system.</p>
702-11	Grant and Cooperative Agreement Program Management Records (formerly Grant Administrative Files)	<p>Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:</p> <p>a. Background Files – program announcements; notice of funding opportunity announcement, including Federal Register Notices, and Requests for Proposals.</p> <p>b. Application Packages - blank forms,</p>	DAA-GRS-2013-0008-0007 (GRS 1.2, item 010)	<p>TEMPORARY</p> <p>Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for business use.</p>

		<p>instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity.</p> <p>c. Application Evaluation Files -panel composition, correspondence instructions, etc. for a specific funding opportunity.</p> <p>Note: If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Exclusion 1: Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.</p> <p>Exclusion 2: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p>		
702-12	Construction Contractors' Payroll Files	Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers.	DAA-GRS-2013-0003-0003 (GRS 1.1, item 050)	TEMPORARY. Destroy 3 years after completion of contract or

				conclusion of contract being subject to an enforcement action, but no longer retention is authorized if required for business use.
702-13	Grant and Cooperative Agreement Case File (formerly Unsuccessful Grant Applications File)	<p>Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:</p> <p>Applications, forms, and budget documents - evaluation reports, panelist comments, review ratings or scores; Notice of Grant Award or equivalent and grant terms and conditions; state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding); amendment requests and actions, if any; periodic and final performance reports (progress, narrative, financial); audit reports and/or other monitoring or oversight documentation; summary reports and the like.</p> <p>Note: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p>		

		<p>Exclusion: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p> <p>Legal citation: 31 U.S.C. 3731(b), False Claims Act.</p>		
		Successful applications.	DAA-GRS-2013-0008-0001 (GRS 1.2, item 020)	TEMPORARY. Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.
		Unsuccessful applications.	DAA-GRS-2013-0008-0006 (GRS 1.2, item 021)	Temporary. Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.
		<p>All other copies.</p> <p>Copies used for administrative or reference purposes.</p>	DAA-GRS-2013-0008-0002 (GRS 1.2, item 022)	TEMPORARY. Destroy when business use ceases.
702-14	Final grant and cooperative agreement products or deliverables	The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the ward. These are maintained separately from other program records and may include materials such as a report,	DAA-GRS-2013-0008-0003 (GRS 1.2, item 030)	TEMPORARY. Destroy when business use ceases.

		<p>study, or publication; conference paper and/or presentation; book, journal article, or monograph; training material, education aid, or curriculum content plan, process, or analysis; database or dataset, audio, video, or still photography; website content or other Internet component; documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin or an instrument, device, or prototype); software or computer code.</p> <p>Note 1: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.</p> <p>Note 2: If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.</p>		
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703 Supply Management Files

These files relate to the operation of supply functions, including warehouses and supply centers, for NOAA or its elements, and maintaining accountability for property supplied to units. Other files related to the supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs. They also include local requisition and stock inventory files and other minor supply papers.

NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
703-01	Supply Management Files.	These files are submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).		
		a. Copies received from other units for internal purposes or for transmission to staff agencies.	GRS 3, item 4a	TEMPORARY. Destroy when 2 years old.
		b. Copies in other reporting units and related working documents.	GRS 3, item 4a	TEMPORARY. Destroy when 1 year old.

703-02	Nonpersonnel Requisition Files.	Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
703-03	Inventory Requisition Files.	Requisitions for supplies and equipment for current inventory.		
		a. Stockroom Copy	GRS 3, item 8a	TEMPORARY. Destroy 2 years after completion or cancellation of requisition.
		b. All Other Copies	GRS 3, item 8b	TEMPORARY. Destroy when 6 months old.
703-04	Inventory Management Files.			
		a. Inventory List	GRS 3, item 9a	TEMPORARY. Destroy 2 years

				from date of list
		b. Inventory Cards	GRS 3, item 9b	TEMPORARY. Destroy 2 years after discontinuance of item, 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.
		c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.	GRS 3, item 9c	TEMPORARY. Destroy 2 years after date of survey action or date of posting medium.
703-05	Plant, Cost, and Stores General Correspondence Files.	Correspondence files of units responsible for plant, cost, and stores accounting operations.	GRS 8, item 1	TEMPORARY. Destroy when 2 years old.

703-06	Stores Invoice Files.	Invoices or equivalent papers used for stores accounting purposes.	DAA-GRS-2013-0003-0012 (GRS 1.1, item 040)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
703-07	Stores Accounting Files.	Working files used in accumulating stores accounting data.	DAA-GRS-2013-0003-0012 (GRS 1.1, item 040)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
703-08	Stores Accounting Background Files.	Working files used in accumulating stores accounting data.	DAA-GRS-2013-0003-0012 (GRS 1.1, item 040)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
703-09	Plant Accounting Files.	Plant account cards and ledgers, other than those pertaining to structures.	DAA-GRS-2013-0003-0012 (GRS 1.1, item 040)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for

				business use.
703-10	Cost Accounting Reports.			
		a. Copies in units receiving reports.	DAA-GRS-2013-0003-0012 (GRS 1.1, item 040)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
		b. Copies in reporting units and related work papers.	DAA-GRS-2013-0003-0012 (GRS 1.1, item 040)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for business use.
703-11	Cost Report Data Files.	Ledgers, forms, and electronic records used to accumulate data for use in cost reports.		
		a. Ledgers and forms.	DAA-GRS-2013-0003-0012 (GRS 1.1, item 040)	TEMPORARY. Destroy when 3 years old, but longer retention is authorized if required for

				business use.
		b. Automated records: detail cards, summary cards, and tabulations.		RESCINDED per GRS Transmittal 23

704 Personal Property Management and Property Disposal Files

These records are created and accumulated by organizations that have management control or formulate and prescribe property policies and procedures and by activities and offices applying these procedures. This schedule describes the pertinent records categories and specifies the retention period and disposition for each.

Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Administration (NARA) for appraisal before applying these disposition instructions. In no event may disposal (including sales) be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
704-01	Surplus Property Case Files.	Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.		
		a. Transactions of more than \$25,000.	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final

				payment or cancellation, but longer retention is authorized if required for business use.
		b. Transaction of \$25,000 or less	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 3 years after final payment or cancellation, but longer retention is authorized if required for business use.
704-02	Excess Personal Property Reports.		GRS 4, item 2	TEMPORARY. Destroy when 3 years old
704-03	Property Disposal Correspondence Files.	Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	GRS 4, item 1	TEMPORARY. Destroy when 2 years old
704-04	Personal Property Accountability Files.	Files relating to accountability for personal property lost or stolen.		
		a. Ledger Files	GRS 18, item 15a	TEMPORARY. Destroy 3 years after final entry

		b. Reports, loss statements, receipts, and other documents relating to lost and found articles	GRS 18, item 15b	TEMPORARY. Destroy when 1 year old
704-05	Personal Property Tracking Databases.	<p>Personal property tracking databases containing summary information on NOAA's accountable property. Includes inventory control/tag number, serial numbers, locations, name of custodial activity or officer, property status, and other relevant information.</p> <p>All documentation for temporary electronic records and documentation not necessary for preservation of permanent records. Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including:</p> <ul style="list-style-type: none"> • data/database dictionary records • data systems specifications • file specifications • code books • record layouts • metadata • user guides • output specifications 		

		a. Input Documents. Included are copies of source documents such as Property Transfer Document; SF 120, Report of Excess Personal Property; SF 122, Transfer Order Excess Personal Property; property listings, and property records. Item applies to copies that are not required to be filed as records elsewhere.	DAA-GRS-2013-0005-0003 (GRS 3.1, item 051)	TEMPORARY. Destroy 5 years after the project/activity/transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if required for business use.
		b. Database Records. Records maintained in electronic form on an online system and regularly backed up on computer tape.	DAA-GRS-2013-0005-0003 (GRS 3.1, item 051)	TEMPORARY. Delete property entry 2 years after property is excessed or otherwise removed from NOAA's custody.
		c. Reports.		
		(1) Convenience and Reference Reports. Periodic and on demand reports printed to paper or digital media containing portions, summaries, and analyses of the data and used for convenience,	DAA-GRS-2013-0005-0003 (GRS 3.1, item 051)	TEMPORARY. Destroy when no longer needed.

		reference, or distribution.		
		c (2) Record and Case File Reports. Periodic and on demand reports printed to paper or digital media containing portions, summaries, and analyses of the data and filed in a case file or as a record copy and used to document a program, activity, or decision.	DAA-GRS-2013-0005-0003 (GRS 3.1, item 051)	TEMPORARY. Retain for the specified retention period of case file or records where reports are filed.